

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

This schedule provides disposition instructions for those records relating to the administrative functions of the Department. The administrative functions covered include budget, management and organization analysis, financial systems and accounting operations, personnel management and administration, data and statistical analysis, general administrative services, procurement and contracting services and general automatic data processing (ADP) records. Records of specific ADP systems are covered in the functional records disposition schedule to which the system relates.

This schedule covers administrative records described above regardless of what office maintains the records; i.e., it covers Regional and Field Office records as well as Headquarters records and covers administrative records kept in program offices as well as those kept in administrative offices. This schedule also covers administrative records of HUD's predecessor agencies. The records of the immediate office of the Assistant Secretary for Administration are also covered.

Since this schedule is comprehensive for Departmental records relating to administrative functions, the schedule items have been grouped by function under a subheading. The following index shows the item numbers included under each functional subheading and gives the page number where that group of items begins:

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Item

No.	Description of Records	Disposition
General Office Files		
1.	Administrative subject correspondence files. Consist of incoming and outgoing correspondence with other related records concerning routine administrative functions and housekeeping activities. Do not include program subject files since these are or will be covered in the related program schedules.	Break files annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 1)
2.	Correspondence chronological or reading files. Consist of extra (nonrecord) copies of outgoing correspondence originated in the office solely as a reference or reading file for the convenience of office personnel.	Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 2)
3.	Suspense or tickler files. Consist of nonrecord extra copies of documents set aside to assure action by a specific date and other cards, notes or papers used as reminders that an action is required.	Destroy 1 year after action is taken or reply is received or destroy when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 3)
4.	Transitory files. Consist of papers of short-term interest which have no value as documentation or evidence. Include routine requests for information or publications and the replies;	Destroy when 1 year old. (NARA Job NC1-207-80-5, item 4)

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	letters of transmittal which do not add any information; and memoranda and other papers on non-official matters such as holidays, charity drives, and bond campaigns.	
5.	Routine work control files. Consist of papers or cards used to facilitate or control work in progress. Include job control records, status cards, routing slips, and work processing sheets.	Destroy when work is completed or when no longer needed for control. (NARA Job NC1-207-80-5, item 5)
6.	Technical reference files. Consist of extra (nonrecord) copies of issuances and directives, publications, reports, speeches, and other material used for reference purposes. Include informational copies of correspondence. Also include nonrecord copies of: Organizational charts and statements, staffing documents, documents establishing policy or precedents which apply to future and continuing actions, publications of other Government agencies, and non-Government publications.	Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job NC1-207-80-5, item 6)
7.	Housekeeping files. Consist of nonrecord copies of documents which relate to personnel, budget, travel, and similar administrative functions.	
	a. Employee travel files. Consist of correspondence, requests, travel authorizations and orders, itineraries, copies of travel vouchers, and similar papers pertaining to employee travel. Do not include travel records maintained for accounting purposes.	Use General Records Schedule 9, item 4a.

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Item No.	Description of Records	Disposition
b.	Other housekeeping files.	Use the appropriate General Records Schedule. Except: When the files are included as part of the administrative subject correspondence files, use item 1 of this schedule. (NARA Job NC1-207-80-5, item 7b)
8.	Records which are microfilmed according to 41 CFR 101-11506 and a feasibility study or contract approved by Headquarters.	
a.	Scheduled, temporary records.	
(1)	Hard copies which were microfilmed.	Destroy after microform is checked and verified. (NARA Job NC1-207-84-4, item 8a(1))
(2)	Microform copies and hard copies not microfilmed.	Use the same schedule and item that covered the original records. (NARA Job NC1-207-84-4, item 8a(2))
b.	Permanent or unscheduled records.	Contact the Departmental Records Management Officer for help in preparing an SF
115	to cover these	records. (NARA Job NC1-207-84-4, item 8b)

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Administrative Records

Item No.	Description of Records	Disposition
8-1.	Investigative Case Files (program office files). Program (other offices) file copies of working papers and background material used in the development of responses to investigative case	Destroy when 3 years old. (NARA JOB N1-207-93-5, item 8-1)

files, Hotline Complaints and other similar investigative reports.

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Item No.	Description of Records	Disposition
	Personnel, Payroll, Leave	
9.	Personnel records.	Use General Records Schedule (GRS) 1 except: a. Use item 10 of this schedule in place of GRS 1, item 12e. b. Use item 11 of this schedule in place of GRS 1, item 30a(1). * c. Use items 13 and 14 of this schedule for related ADP systems files. d. Use item 15 of this schedule in place of GRS 1, item 12a(1), for Employee IDEAS Case Files. *
10.	Departmental level awards files. Consist of records related to awards made at the Department level (Secretary's Awards) or higher (Presidential, etc.).	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 10)
11.	Training aids. Consist of manuals, syllabi, textbooks and other training aids developed by HUD.	
	a. Record copy kept by office which developed the training aid.	Retire to Federal Records Center when superseded or obsolete. Destroy 5 years after retirement. (NARA Job NC1-207-80-5, item 11a)
	b. All other copies.	Destroy when superseded,

obsolete or no longer needed
for reference. (NARA Job
NC1-207-80-5, item 11b)

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Item No.	Description of Records	Disposition
12. *	Payroll and leave records.	Use General Records Schedule 2 except: Use items 13 and 14 of this schedule for related ADP systems files. *
13.	Terminally Operated Personnel/Payroll System (TOPPS). This *ADP system provides necessary data and reports dealing with all personnel processing and provides all files maintenance, updating and formula calculations necessary for pay processing, bond preparation and accumulation and balances of employee's leave. TOPPS also provides accumulative totals and reporting of FICA, retirement, State and Federal income tax withholding. TOPPS became operational in January 1979 and replaced the Personnel System and the Pay and Leave System. All three systems are covered by items 13a through 13e.	
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of	Destroy 1 year after system is placed on the inactive list. (NARA Job NC1-207-80-5, item 13a)

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Item No.	Description of Records	Disposition
	descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	
b.	Input documents.	
	(1) Forms used solely as transcription documents to enter data into the system.	Destroy after General Accounting Office audit or when 3 years old, whichever is earlier. (NARA Job NC1-207-80-5, item 13b(1))
	(2) Forms, reports and other documents which serve as source documents for data entered into the system (may also serve as transcription document).	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 13b(2))
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	
	(1) Produced daily.	
	(a) Those processing files produced daily and specifically identified as requiring an extended retention.	Scratch when 3 days old. (NARA Job NC1-207-80-5, item 13c(1)(a))

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Item No.	Description of Records	Disposition
	(b) All other processing files produced daily.	Scratch when 1 day old. (NARA Job NC1-207-80-5, item 13c(1)(b))
	(2) Produced biweekly.	Scratch when 14 days old. (NARA Job NC1-207-80-5, item 13c(2))
	(3) Produced quarterly.	Scratch when 90 days old. (NARA Job NC1-207-80-5, item 13c(3))
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	
	(a) Master files created daily.	Scratch when 6 months old. (NARA Job NC1-207-80-5, item 13d(1)(a))
	(b) Master files created biweekly and updated daily through end of pay period.	Scratch when 1 year old. (NARA Job NC1-207-80-5, item 13d(1)(b))
	(c) Hard core master files needed for end-of-year processing as well as daily and biweekly processing. Include A90AAA, main transactions file, and A90 CBF which is used as input to other ADP systems, such as accounting systems.	Scratch when 3 years old. (NARA Job NC1-207-80-5, item 13d(1)(c))

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No.	Description of Records	Disposition
	(2) When the system is deleted from the inventory of active systems.	Destroy 3 years after system is placed on inactive list. (NARA Job NC1-207-80-5, item 13d(2))
e.	Printouts, output reports.	
	(1) Master set kept by system sponsor.	
	(a) Annual reports.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 13e(1)(a))
	(b) Quarterly reports.	Destroy upon receipt of annual report summarizing the quarterly reports. (NARA Job NC1-207-80-5, item 13e(1)(b))
	(c) Biweekly reports.	Destroy upon receipt of quarterly report summarizing the biweekly reports. (NARA Job NC1-207-80-5, item 13e(1)(c))
	(d) Daily reports.	Destroy upon receipt of biweekly report summarizing the daily reports. (NARA Job NC1-207-80-5, item 13e(1)(d))
	(2) All other sets.	
	(a) Biweekly reports.	Keep two most recent reports and destroy all previous ones. (NARA Job NC1-207-80-5, Item 13e(2)(a))

Item No.	Description of Records	Disposition
	(b) Daily reports.	Destroy after verifying that data was correctly entered into system. (NARA Job NC1-207-80-5, item 13e(2)(b))
14.	Retirement Annuity Calculation System. This ADP system calculates estimated retirement annuity for each HUD employee as requested. The system is self-explaining and is used in an interactive mode by any individual requestor. The system produces its own input document and an explanation of how to use the document. Provision is made to include cost-of-living increases by two different methods. The system was developed by Region V but can be used by all Regions.	
	a. Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 14a)
	b. Program.	Delete from operational program library when system is placed on inactive list. (NARA Job NC1-207-80-5, item 14b)

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Item No.	Description of Records	Disposition
	c. Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 14c)
15.	IDEAS Case Files.	
	a. Rejected.	Destroy 2 years after rejection. (NARA Job N1-207-89-1, item 15a)
	b. Adopted.	Retain for 2 years from date of adoption, then retire to Federal Records Center. Destroy 5 years after date of adoption. (NARA Job N1-207-89-1, item 15b)

Contracts, Grants, Supplies

16. Records related to contracts subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1), to grants and other forms of assistance, and to obtaining supplies. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the FAR.

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ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
a.	Case files on grants and other forms of assistance created and maintained by HUD program offices such as Housing, Community Planning and Development, Fair Housing and Equal Opportunity, Public and Indian Housing, and Policy Development and Research. These files include accepted applications among other documents, related correspondence and final product files.	Use the appropriate HUD records disposition schedule covering the program's records. (NARA Job N1-207-93-4, item

16a)b. All other records.

Use General Records
Schedule (GRS) 3 except:

(1)Use item 17-2 of this
Schedule in place of GRS
3, items 3a(1) and
(2). (NARA Job N1-207-
95-3, item 16b(1)).

(2)Use item 17-3 of
this schedule in
place of GRS 3, item
13. (NARA Job N1-
207-93-4, item
16b(2))

(3)Use items 17, 17-1,
17-4, 18, and 19 in
addition to GRS 3.
(NARA Job N1-207-93-
4, item 16b(3))

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HUD RECORDS DISPOSITION SCHEDULE 3

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Item

No.

Description of Records

Disposition

17. Government Technical
Representative (GTR) case
files. The GTR is the program
person responsible for the
technical direction and evalu-
ation of contractor/grantee
performance. GTR case files
consist of copies of the
request for services, Request
for Proposals (RFP) and amend-
ments, technical and cost
proposals and modifications
submitted by the contractor/
grantee, conformed copy of
contract/copy of grant
agreement and modifications,
contractor's/grantee's
management reports to GTR, GTR
reports and memoranda,
contractor's/grantee's interim
and final technical reports,
GTR evaluation reports,
distribution list for final
report, statement of final
contract/grant status and any
related correspondence or

Destroy 6 years after
contract or grant is
formally closed out.
(NARA Job N1-207-91-1,
item 17)

other documents.

- 17-1. Government Technical Monitor (GTM) files. The content of GTM files varies depending on what authority the GTR has delegated to the GTM. GTM files have the same kinds of documentation as GTR files. Transfer files to the GTR when contract/grant is closed out. The GTR screens the files to eliminate any duplicate records and adds the remaining files to the GTR case file. Use the disposition in item 17 for the combined files. (NARA Job N1-207-91-1, item 17-1)

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Item No.	Description of Records	Disposition
17-2.	Routine procurement files. Contract, requisition, purchase order, lease, bond and surety records, and interagency acquisitions, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in GRS 3, items 1 and 12).	
17-3.	Files on unsuccessful applications for grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the Federal Acquisition Regulations (FAR) (48 CFR Chapter 1).	Retain in office for 1 year after date of award of the grant or other form of assistance. Retire to the Federal Records Center anytime thereafter that volume warrants.

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HUD RECORDS DISPOSITION SCHEDULE 3

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Item

No.

Description of Records

Disposition

Files include applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

a. Unsuccessful application files for grants and other forms of assistance under HUD programs that provide for competitive distribution of assistance. These programs, some of which are listed in 24 CFR P

(Exception: The Community Planning and Development Processing and Control Unit in Headquarters may retire these records to the Center anytime after the date of award that volume warrants.)

Destroy 5 years and 30 days after the date of award of the grant or other form of assistance.

art 12, Subpart B, Unsuccessful application section 12.10, are subject to the public inspection requirements of section 102(a)(4)(E) of the HUD Reform Act.

files for Section 312 Rehabilitation Loans are part of the Privacy Act System of Record HUD/DEPT-29. (NARA Job

N1-207-93-4, item 17-3a)

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Item

No.

Description of Records

Disposition

b. Unsuccessful application files for grants and other forms of assistance under HUD programs that do not provide for competitive distribution of assistance.

Retire inactive records to the Federal Records Center anytime after rejection or withdrawal that volume warrants. Destroy 3 years after rejection or withdrawal. (NARA Job N1-207-93-4, item 17-3b)

17-4. Procurement office files on grants and other forms of assistance. Other forms of assistance include loans, cooperative agreements, and contracts not subject to the Federal Acquisition Regulation (FAR) (48 CFR

Retain in office for 1 year after final payment. Retire to the Federal Records Center anytime thereafter that volume warrants. Destroy 6 years and 3 months after final payment. (NARA Job

	Chapter 1).	N1-207-93-4, item 17-4)
18.	Extra copies of contractor's/ grantee's final report.	Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job N1-207-91-1, item 18)
19.	Office of Procurement and Contracts (OPC) Management Information System. This ADP system will provide a system- atic procedure and reporting structure to monitor procure- ment actions in both pre-award and post-award phases of a contract. It will report contract status for each	
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	procurement action processed and also provide summary reports concerning overall OPC division performance/workload and contract specialist performance/workload.	
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-81-4, item 19a)
b.	Input documents.	
	(1) Forms, reports, and other documents intended solely to serve as inputs to the system.	Destroy after third update cycle. (NARA Job NC1-207-81-4, item 19b(1))
	(2) Forms, reports, and other	Use the appropriate

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|---|---|
| documents which serve other program uses in addition to serving as inputs to the system. | item elsewhere in this schedule. (NARA Job NC1-207-81-4, item 19b(2)) |
| c. Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file. | Scratch after third update cycle. (NARA Job NC1-207-81-4, item 19c) |
| d. Master files. Constitute the definitive state of a data file in a system at a given time. | |

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Item No.	Description of Records	Disposition
	(1) While the system is operational.	Scratch after third update cycle. (NARA Job NC1-207-81-4, item 19d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-81-4, item 19d(2))
e.	Printouts, output reports.	Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job NC1-207-81-4, item 19e)
Property Disposal		
20.	Property disposal records. Consist of records relating to sales of real and personal Government property which is surplus to HUD needs. Do not include records relating to the disposition of HUD-acquired single or multifamily property which are covered by HUD Records Disposition Schedule 7.	Use General Records Schedule (GRS) 4 except: Use item 21 of this schedule in place of GRS 4, item 3.

21. Excess real property reports.

Destroy 1 year after excess real property is sold, donated, traded, or otherwise passes from HUD ownership. (NARA Job NC1-207-80-5, item 21)

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Item

No.

Description of Records

Disposition

Budget

22. Budget records. Consist of files related to formulating and justifying the HUD budget submitted to the Secretary, Office of Management and Budget and Congress; defending such budget requests; and managing the budget during the fiscal year for which it applies.

Use General Records schedule (GRS) 5 except:

a. Use item 23 of this schedule in place of GRS 5, item 1.

b. Use item 24 of this schedule in place of GRS 5, item 2a.

c. Use items 25 and 26 of this schedule for related ADP systems files.

23. Budget policy files. Consist of correspondence or subject files in formally organized budget offices documenting HUD policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for HUD programs. (See GRS 5, item 3, for non-policy budget correspondence files.)

Break file at end of fiscal year. Destroy 6 years after end of fiscal year. (NARA Job NC1-207-80-5, item 23)

24. Copies of budget estimates and justifications. Include appropriation language sheets, narrative statements, and related schedules and data.

a. Record copy of the final consolidated

Break file at end

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Item No.	Description of Records	Disposition
	Department budget submitted to the Office of Management and Budget and to Congress. Kept in Headquarters budget office.	of fiscal year. Destroy 6 years after end of fiscal year. (NARA Job NC1-207-80-5, item 24a)
b.	Record copies of feeder budget estimates and justifications. Kept in each preparing office.	Break file at end of fiscal year. Destroy 3 years after end of fiscal year. (NARA Job NC1-207-80-5, item 24b)
c.	All other copies.	Destroy when obsolete, superseded or no longer needed for reference. (NARA Job NC1-207-80-5, item 24c)
25.	Budget Management Information System. This ADP system maintains a current staffing file, by activity and source fund, from which the operating expenses budget reports are prepared for HUD's budget office. Future fiscal year staffing projections in the annual budget submissions to the Secretary, the Office of Management and Budget and the Congress are one of the major products of the system.	
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 25a)

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b.	Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after third update cycle. (NARA Job NC1-207-80-5, item 25b(1))
	(2) Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system.	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 25b(2))
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after readable third update cycle. (NARA Job NC1-207-80-5, item 25c)
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 25d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 25d(2))
e.	Printouts, output reports.	
	(1) Master set maintained by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 25e(1))
	(2) All other copies.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 25e(2))

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26.	Zero Base Budgeting System (ZBBS). This ADP system maintains the budget and staffing figures for the current fiscal year, next estimated fiscal year, and the fiscal year being budgeted for the HUD submission to the Office of Management and Budget, under the Zero Base Budgeting concept. The system also produces the budget and staffing figures on magnetic tape for the Office of Management and Budget's use with their Budget Statistical System (BSS).	
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 26a)
b.	Input documents. Consist of forms, reports and other document intended solely to serve as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 26b)
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after next update cycle. (NARA Job NC1-207-80-5, item 26c)

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d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Scratch after next update cycle. (NARA Job NC1-207-80-5, item 26d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 26d(2))
e.	Printouts, output reports.	
	(1) Master set maintained by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 26e (1))
	(2) All other copies.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 26e(2))
Financial Accounting		
27.	Financial accounting records.	Use General Records Schedules 6 and 7.
27-1.RESERVED.		
Stores, Plant and Cost Accounting		
28.	Specialized stores, plant and cost accounting records. Stores accounting records provide personal accountability for receipt and custody of materials and indicate how much the materials are worth. Plant accounting records give the principal	Use General Records Schedule (GRS) 8 except: a. Use item 29 of this schedule in place of GRS 8, item 1.

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Item No.	Description of Records	Disposition
	characteristics of each item of physical plant and equipment, including real property. Cost accounting records show cost of HUD's operation and direct and indirect cost of production, administration, and performing HUD program functions.	b. Use item 30 of this schedule for related ADP systems files.
29.	Plant accounting files. Consist of plant account cards and ledgers pertaining to structures.	Destroy 3 years after structure passes from HUD ownership. (NARA Job NC1-207-80-5, item 29)
30.	Personal Property Management System. This ADP system will provide comprehensive, detailed and responsive capability to control and account for the personal property investment of the Department as required by the basic laws and regulations governing control and accounting for Federal Property.	
	a. Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 30a)
	b. Input documents.	
	(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 30b(1))

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(2) Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system.	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 30b(2))
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 30c)
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 30d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 30d(2))
e.	Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 30e)
Travel and Transportation		
31.	Travel and transportation records. Consist of HUD records dealing with the movement of goods and persons under Government orders.	Use General Records Schedule 9.

Item No.	Description of Records	Disposition
	Motor Vehicle Maintenance and Operation	
32.	Motor vehicle maintenance and operation records. Consist of chauffeur service logs and reports, vehicle repair and maintenance check-off sheets, cost ledgers and claims correspondence and forms.	Use General Records Schedule 10.
	Space and Maintenance	
33.	Records related to space and maintenance.	Use General Records Schedule 11.
	Communications	
34.	Records documenting communication functions. Include messenger service data, telecommunications service control and operational records, summary of long distance telephone reports, postal records, mail control records and related papers, HUD copies of penalty mail reports, and records relating to private delivery services (such as United Parcel Service).	Use General Records Schedule 12.
	Printing, Binding, Duplication and Distribution	
35.	Records relating to printing, binding, duplicating and distribution.	Use General Records Schedule (GRS) 13 except: a. Use item 36 of this schedule in place of GRS 13, item 1a.

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CORRECTED VERSION

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
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- b. Use Item 37 of
this schedule in
place of GRS 13,
item 3a.
36. Record copy of publications files. Also known as the "HUD Printed Archives." Consists of copies of each HUD publication, poster, chart, directive, regulation, booklet, speech, form, press release, and other material printed by HUD. Does not include copies and related program material kept in originating office or which are part of the issuances file (item 63 of this schedule) or the rules and regulations files (Records Disposition Schedule 2). The HUD Printed Archives is kept in Headquarters.
- * Permanent.
Break file monthly
then retire to Federal
Records Center. Trans-
fer to the National
Archives at the end of
each calendar year.
(NARA JOB NC1-207-80-
5, item 36) *
37. Project files pertaining to the accomplishment of the printing, binding, duplication and distribution jobs. Include requisitions, bills, samples, camera-ready copies, manuscript clearances and related papers. Do not include requisitions on the Public Printer and related records and records relating to services obtained outside HUD.
- a. Camera-ready copies of items which are reprinted periodically, such as letterhead stationery and forms.
- Destroy when
superseded or
obsolete. (NARA Job
NC1-207-80-5, Item 37a)
- b. All other copies, documents and files. Include camera-ready copies of one-time publications.
- Destroy 1 year
after completion
of job. (NARA Job NC1-
207-80-5, item 37b)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
Informational Services		
38.	Informational services records. Consist of records- pertaining to informational services performed	Use General Records Schedule (GRS) 14 except:

by HUD in Its day-to-day affairs and relations with the public. Include records created in administering the Freedom of Information Act and Privacy Act Programs.

a. Use item 39 of this schedule in place of GRS 14, item 1.

b. Use Item 40 of this schedule in place of GRS 14, item 2.

39. Information files. Consist of a complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, and indexes thereto.

a. Information case files. Also known as publication case files. Include clearance response records, approval records and final printed version of the publication.

Break files annually.
Retire to Federal Records Center 1 year after files break.
Destroy 5 years after files break. (NARA Job NC1-207-80-5, Item 39a)

b. Originals and printed copies of press releases and speeches kept by the Headquarters public affairs office to fill requests.

Break file annually.
Destroy 3 years after files break.
(NARA Job NC1-207-80-5, Item 39b)

c. Working peers and background material not significant enough to be included in the case file in item 39a of this schedule.

Destroy when 6 months old. (NARA Job NC1-207-80-5, item 39c)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.

Description of Records

Disposition

d. All other copies. Do not include those which are part of the HUD Printed Archives (item 36 of this schedule).

Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job NC1-207-80-5 item 39d)

40. Information subject files. Consist of subject files of formally designated informational offices, not covered elsewhere in this schedule.

Destroy when superseded, obsolete, or no longer needed for reference. (NARA Job NC1-207-80-5, item 40)

Planning, Management and Evaluation

Note: Items 41 through 67 of this schedule will be used in place of General Records Schedule 16.

41. Management planning files. Consist of documents relating to the establishment of short- and long-term planning for the Department. Include documents setting HUD's objectives, establishing schedules to meet the objectives, developing new concepts and requirements for planning purposes, and evaluating progress in meeting the objectives established by the plans.

- a. Files kept by the Headquarters office responsible for preparing the plan.

Place in inactive file when plan is superseded. Retire to Federal Records Center 3 years after plan is superseded or when volume warrants. Destroy when 10 years old. (NARA Job NC1-207-80-5, item 41a)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.

Description of Records

Disposition

- b. Comments or input provided by other HUD offices (not including those which have become a part of the files in item 41a) and duplicate copies.

Destroy when obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 41b)

42. Organizational records. Consist of organization charts, functional charts, staff studies, reports of working groups, and related records which document HUD's organization and functions.

- a. Record copy.

Place in inactive file when organizational

	change is completed. Retire to Federal Records Center when volume warrants. Destroy when 10 years old. (NARA Job NC1-207-80-5, item 42a)
b. All other copies.	Destroy when superseded or obsolete. (NARA Job NC1-207-80-5, item 42b)
43. Evaluation project files. Consist of files relating to the evaluation of HUD program efforts to determine if goals were achieved and to assess the effectiveness of the program.	
a. Copy of final published evaluation report which becomes a part of the HUD Printed Archives in item 36 of this schedule.	Same as for the HUD Printed Archives in item 36 of this Schedule. (NARA Job NC1-207-80-5, item 43a)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
b.	Record copy of evaluation project file. Includes copies of reports, questionnaires, and other data; evaluation of guidelines and procedural documents; progress reports and other papers reflecting the status of the project; and a copy of the final evaluation report.	Place in inactive file when evaluation project is completed. Retire to Federal Records Center 3 years after evaluation project is completed or when volume warrants. Destroy 6 years after project completion. (NARA Job NC1-207-80-5, item 43b)
c.	All other copies.	Destroy when no longer needed for reference. (NARA Job NC1-207-80-5,

- item 43c)
- d. Working papers and background materials.
- Destroy 6 months after final action on project report or 3 years after completion of report if no action is taken. (NARA Job NC1-207-80-5 item 43d)
44. Management improvement files. Include interagency management improvement projects initiated by the Office of Management and Budget and projects authorized by HUD management.
- a. Management improvement project files. Include authorization for project, progress reports and correspondence, finished project report, and actions taken as a result of project.

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(1) Record copy kept by office conducting project or by office sponsoring the contract for project services.	Place in inactive file when action is completed on project. Retire to Federal Records Center 3 years after action is completed on project or when volume warrants. Destroy 7 years after project completion. (NARA Job NC1-207-80-5, item 44a(1))
	(2) All other copies.	Destroy when no longer needed for reference. (NARA Job NC1-207-80-5, item 44a(2))
b.	Project working papers and background material. Do not	Destroy 6 months after final action

include material which is a part of the project file in item 4a of this schedule.

on project report or 3 years after completion of report if no action is taken. (NARA Job NC1-207-80-5, item 44b)

- c. Office of Management and Budget (OMB) Circular files. Consist of correspondence and related documents concerning the coordination of HUD activities in response to OMB Circulars.

- (1) Record copy of files relating to HUD activities in response to OMB

Destroy when 6 years old. (NARA Job

Circular A-102 (Federal NC1-207-80-5, Management Circular 74-7). Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments.

item 44c(1))

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.

Description of Records

Disposition

- (2) Record copy of files relating to HUD activities in response to all other OMB (FMC) Circulars. Destroy when 2 years old. (NARA Job NC1-207-80-5, item 44c(2))

- (3) All other copies. Destroy when no longer needed for reference. (NARA Job NC1-207-80-5, item 44c(3))

45. Files on general management projects, studies or reviews of problem areas in HUD or special concerns of top management. Include pamphlets, reports, published processed documents (or the last manuscript report if not published).

- a. Record copy. Includes supporting papers which document the inception, scope and purpose of the project, study or review. Kept by office Place in inactive file when action is completed on project, study or review.

conducting the project, study or review or by office sponsoring the contract for study services.

Retire to Federal Records Center 3 years after action is completed or when volume warrants. Destroy 7 years after action is completed. (NARA Job NC1-207-80-5, item 45a)

b. All other copies.

Destroy when no longer needed for reference. (NARA Job NC1-207-80-5, item 45b)

c. Working papers and background material.

Destroy 6 months after final action on project/study/review report or 3 years after completion of report if no final action is taken. (NARA Job NC1-207-80-5, item 45c)

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HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.

Description of Records

Disposition

46. Project control files. Memoranda, reports and other records documenting assignments, progress and completion of projects. Destroy 1 year after the year in which project is closed. (NARA Job NC1-207-80-5, item 46)

47. Records of Committees, Boards, Conferences, Task Forces and Special Initiatives.

a. Record set of documentation relating to the establishment, organization, membership and termination of the committee, board, conference, task force or special initiative. Includes establishment proposals, approvals, charters, membership lists, and related documents. Kept by the Committee Management Officer in Headquarters or by the office serving as the office of record.

- | | |
|--|---|
| (1) Inter-agency, advisory and international committees, boards, conferences, task forces and special initiatives where HUD is the sponsor or the secretariat. | Permanent. Break file at end of calendar year in which the committee, board, conference, task force, or special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Transfer to the National Archives 3 years after file break. (NARA Job N1-207-96-10, item 47a(1)). |
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HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(2)	Internal, intra-agency committees, boards, conferences, task forces and special initiatives.	
(a)	Records of internal HUD mission oriented intra-agency committees, boards, conferences, task forces and special initiatives.	Permanent. Break files at end of calendar year in which the internal, intra-agency committee, board, conference, task force or special initiative is terminated Retire to the Federal Records Center 1 year after file break. Transfer to the National Archives 3 years after file break. (NARA Job N1-207-96-10, item 47a(2)(a)).
(b)	Records of internal non-mission orientated intra-agency committees, boards, conferences, task forces and special initiatives.	Break files at end of calendar year in which the internal, intra-agency committee, board, conference, task force and special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Destroy 3 years after file break. (NARA Job N1-207-96-10, item 47a(2)(b)).

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HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(3)	Records on committees, boards, conferences, task forces and special initiatives that were proposed, but disapproved.	Break file at end of calendar year in which the committee, board, conference, task force or special initiative is disapproved. Destroy 3 years after file break. (NARA Job N1-207-96-10, item 47a(3)).
b.	Record set of documentation created by committees, boards, conferences, task forces and special initiatives. Includes agenda, minutes, special studies, final reports, project case files and related records documenting major activities and accomplishments. This is the designated official record set of the chairman, secretariat, recorder, or office of record.	

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HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(1)	Inter-Agency, advisory and international committees, boards, conferences, task forces and special initiatives where HUD is the sponsor or secretariat.	Permanent. Break file at end of calendar year in which the committee, board, conference, task force or special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Transfer to the National

Archives 3 years after file break. (NARA Job N1-207-96-10, item 47b(1)).

- (2) Internal, intra-agency committees, boards, conferences, task forces and special initiatives.

- (a) Records of internal HUD mission oriented intra-agency committees, boards, conferences, task forces and special initiatives. Permanent. Break files at end of calendar year in which committee, board, conference, task force and special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Transfer to the National Archives 3 years after file break. (NARA Job N1-207-96-10, item 47b(2)(a)).

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HUD RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(b)	Records of internal HUD non-mission orientated intra-agency task forces, special project groups, committees, boards and conferences.	Break files at end of calendar year in which committee, board, conference, task force or special initiative is terminated. Retire to the Federal Records Center 1 year after file break. Destroy 3 years after file break. (NARA Job N1-207-96-10, item 47b(2)(b)).
c.	All other committee records and copies.	Destroy when 3 years old or when no longer needed for reference. (NARA Job NC1-207-80-5, item 4c).

Duplicative, fragmentary, non-record materials and items covered by the General Records Schedule may be disposed of without further permission from the Department of Housing and Urban Development.

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.	Description of Records	Disposition
48.	Staff meeting records. Consist of memoranda, handwritten notes, and other papers relating to staff meetings held by Departmental officials.	Destroy when no longer needed for reference or when one year old, whichever is earlier. (NARA Job NC1-207-80-5, Item 48)
49.	Process analysis, work measurement and productivity files.	
a.	Study reports. Consist of reports on the findings and recommendations based on process analysis/work measurement/productivity studies. May include printed copies of flow charts as part of the report.	
	(1) Final study report.	Destroy when 10 years old. (NARA Job NC1-207-80-5, item 49a(1))
	(2) Draft study report.	Destroy when final study report is completed and accepted. (NARA Job NC1-207-80-5, item 49a(2))
b.	Background data. Includes data forms completed by employees of the office(s) under study.	Destroy 3 years after completion and acceptance of final study report. (NARA Job NC1-207-80-5, item 49b)
c.	Flow charts.	
	(1) Camera copies.	
	(a) Flow charts prepared as part of process analysis/work measurement/productivity studies.	Destroy 2 years after the final study report is completed. (NARA Job NC1-207-80-5, item 49c(1)(a))

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(b) Flow charts prepared separately in response to special requests.	Destroy when 2 years old. (NARA Job NC1-207-80-5, item 49 c(1)(b))
	(2) Other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 49c(2))
50.	Workload reports. Prepared monthly by selected offices. Used to gather data used primarily in work measurement/productivity analysis.	
	a. Copies submitted to Headquarters.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 50a)
	b. Copy retained in reporting office. Includes Field input.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 50b)
51.	Regional Employee Time Reporting System (RETRS). This ADP system applies time expended against HUD programs by Regional and Field Offices. It produces detailed reports which assist Administrators in tracking personnel expenditures by program area against projected program budgets. The system also produces data used for budget formulation and execution, monitoring staff resource expenditures against the Regional Operating Plan, work measurement and productivity analyses and for billing other Federal agencies for reimbursable work performed.	

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 51a)
b.	Input documents. Consist of forms intended solely to serve as inputs to the system.	
	(1) Forms prepared by each Regional and Field Office employee to show how much time is spent on each activity and related documents, such as Forms HUD 193.1, 193.3 and 193.4.	
	(a) Copies submitted to Headquarters each month.	Destroy when 3 months old. (NARA Job NC1-207-80-5, item 51b(1)(a))
	(b) Copies retained in Field Offices.	Break file at end of fiscal year. Destroy 1 year after file break. (NARA Job NC1-207-80-5, item 51b(1)(b))
	(2) Other input documents.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 51b(2))

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 51c)
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Scratch when 2 years old. (NARA Job NC1-207-80-5, item 51d(1))
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 51d(2))
e.	Printouts, output reports. Most output reports are produced in microfiche. A few, less voluminous output reports are generated in paper form.	
	(1) Research set maintained by system sponsor.	
	(a) Monthly reports.	Destroy upon receipt of quarterly report incorporating those monthly reports. (NARA Job NC1-207-82-6, item 51e(1)(a))
	(b) Quarterly reports.	Destroy when 2 years old. (NARA Job NC1-207-82-6, item 51e(1)(b))

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

(c) National year-end reports and the program/activity summary data from the Regional year-end reports.

Destroy when 6 years old. (NARA Job NC1-207-82-6, item 51e(1)(c))

(d) Regional year-end report except the program/activity summary data.

Destroy when 2 years old. (NARA Job NC1-207-82-6, item 51e(1)(d))

(2) Field copies.

(a) Monthly reports.

Destroy when 1 year old.

(NARA Job NC1-207-82-6, item 51e(2)(a))

(b) Year end reports.

Destroy when 3 years old. (NARA Job NC1-207-82-6, item 51e(2)(b))

(3) All other copies, wherever maintained.

Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-82-6, item 51e(3))

52. Files on the narrative and control table portion of the Regional Operating Plans (ROP's). Manually prepared before the beginning of the Fiscal Year and revised once during the Fiscal Year.

a. Files kept by Headquarters office responsible for finalizing and assembling the narrative and control table portion of the ROPs and arranging for printing and distribution.

Destroy when 5 years old. (NARA Job NC1-207-80-5, item 52a)

ADMINISTRATIVE RECORDS

Item

No.	Description of Records	Disposition
b.	Files kept by Regional Office unit responsible for preparing the narrative and control table portion of the Regional Operating Plan submission.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 52b)
c.	Input for narrative and control table portion of the ROP kept by individual program offices.	Destroy when superseded, obsolete or no longer needed for reference (NARA Job NC1-207-80-5, item 52c)
d.	Other printed copies of the narrative and control table portion of the ROPs.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 52d)
53.	Regional and Field Operating Plan System (OPLAN). This ADP system is intended to expedite the planning, negotiation, and preparation of the Regional Operating Plans which govern the establishment of Priority Objectives and the allocation of workload and staff resources to organizational elements. Accepting data from both Headquarters and the Field, the system will also allow monthly monitoring of Priority Objectives and a monthly comparison of work accomplished and staff resources expended. Information will be displayed to the work-unit level for each activity of HUD programs. This system became operational in March 1979 and replaced the demonstration automated Regional Operating Plan System and the Field Operating Plan System. All three systems are covered by items 53a through 53e.	

ADMINISTRATIVE RECORDS

Item

No.	Description of Records	Disposition
a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 53a)
b.	Input documents.	
	(1) Performance Data Forms.	Break file at end of fiscal year. Destroy 3 months after files break. (NARA Job NC1-207-80-5, item 53b(1))
	(2) All other input documents intended solely to serve as input to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 53b(2))
c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Retention period cannot be specified until system has been operational for a full fiscal year. Review in 1 year. (NARA Job NC1-207-80-5, item 53c)
d.	Master files. Constitute the definitive state of a data file in a system at a given time.	
	(1) While the system is operational.	Destroy when 5 years old. (NARA Job NC1-207-80-5, items 53d(1))

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No.	Description of Records	Disposition
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 53d(2))
e.	Printouts, output reports.	
	(1) Master set kept by system sponsor.	Destroy when 5 years Old. (NARA Job NC1-207-80-5, item 53e(1))
	(2) Sets kept by Regional Offices.	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 53e(2))
	(3) All other copies.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 53e(3))
54.	Executive Management Report (EMR) files. Consist of monthly reports which measure the Regional Offices' progress against current and cumulative monthly targets for selected priority objectives established in the Regional Operating Plans. Data for these monthly reports are automatically extracted from the OPLAN data base. Includes input reports and related documents.	
a.	EMR files kept by Headquarters office responsible for coordinating, assembling, and arranging for printing and	Destroy 5 years after end of Fiscal Year in which report is prepared. (NARA Job NC1-207-80-5, item 54a)

Item No.	Description of Records	Disposition
	distribution of the EMRs. Files include background sheets, originals, and a printed copy of each monthly EMR.	
b.	EMR files kept by individual program offices in Head- quarters and Field. Consist of copies of the program office's input for inclusion in the EMR, in cases where items are not automatically extracted from the OPLAN data base.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 54b)
c.	Other printed copies of the EMRs.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 54c)
55.	Reorganization staffing lists files. Consist of historical data relating to the impact of Departmental reorganizations on staffing.	
a.	Files kept by the Headquarters office responsible for staffing resource matters. These files contain original staffing lists, proposed staffing patterns, appeals, and final official Permanent Full Time (PFT) staffing lists.	Destroy 2 years after reorganization is completed (NARA Job NC1-207-80-5, item 55a)
b.	Copies of the final official PFT staffing lists and related documents kept in Regions and Headquarters offices other than that named in item 55a.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 55b)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
56.	HUD Statistical Yearbook files.	

The HUD Statistical Yearbook is an annual compilation of data on HUD's program and financial operations and statistical information related to housing and urban activities.

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|---|--|
| a. Typed originals of Yearbook and submissions from HUD program offices and outside sources kept in the Headquarters office responsible for compiling the Yearbook. | Destroy when 1 year old.
(NARA Job NC1-207-80-5, item 56a) |
| b. Copies of the program submissions kept in the HUD program offices which prepared them. | Destroy after publication of Yearbook incorporating those submissions. (NARA Job NC1-207-80-5, item 56b) |
| c. Extra printed copies of Yearbook. | Destroy when superseded, obsolete or no longer needed for reference
(NARA Job NC1-207-80-5, item 56c) |

57. Housing and Urban Development Trends files. The Housing and Urban Development Trends is a quarterly publication which provides current information on housing production and financing and on HUD's program activities. The publication displays data for the most recent 3 to 4 years.

- | | |
|--|---|
| a. Typed originals of publication and monthly submissions from HUD program offices and outside sources kept in the Headquarters office which is responsible for compiling the publication. | Break file quarterly.
Destroy after next HUD quarterly update. (NARA Job NC1-207-80-5, item 57a) |
|--|---|

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

- | | |
|---|---|
| b. Copies of the monthly program submissions kept in the HUD program offices which prepared | Destroy after publication of the quarterly update |
|---|---|

them.	incorporating those submissions. (NARA Job NC1-207-80-5, item 57b)
c. Extra printed copies of Trends.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 57c)
58. HUD Master Locality File System. This ADP system maintains a master reference file containing geographic codes which uniquely identify each place where a HUD project is located. It uses a geographical hierarchy of places (using State, county and locality codes) by population, for use as an analytical tool. The file is also used to interface with other automated systems to achieve standardization within HUD programs and to eliminate redundant data entry into each program file of elements of information regarding the localities of projects.	
a. Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 58a)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
b.	Input documents. Consist of forms, reports and other documents intended solely to	Destroy after data has been entered into the system and verified.

- | | |
|--|---|
| serve as inputs to the system. | (NARA Job NC1-207-80-5, item 58b) |
| c. Master files. Constitute the definitive state of a data file in a system at a given time. | |
| (1) While the system is operational. | Scratch after second update cycle. (NARA Job NC1-207-80-5, item 58c(1)) |
| (2) When the system is deleted from the inventory of active systems. | Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 58c(2)) |
| d. Printouts, output reports. | |
| (1) Master set kept by system sponsor. | Keep the two most recent issues and destroy all previous issues. (NARA Job NC1-207-80-5, item 58d(1)) |
| (2) All other copies. | Destroy all previous copies when new copy is received. (NARA Job NC1-207-80-5, item 58d(2)) |
| e. Memoranda listing ink corrections to be made to printouts. Serves to help users keep their copies up-to-date until next printout is received. | |

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ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(1)	Master set kept by system sponsor.	Destroy when 5 years old. (NARA Job NC1-207-80-5, item 58e(1))
(2)	All other copies.	Destroy after ink corrections are made to

printout. (NARA Job
NC1-207-80-5, item
58e(2))

59. Federal Information Exchange (FIX) System. This ADP system provides the Community Services Administration (formerly Office of Economic Opportunity) with Federal outlays by geographic location (counties and cities having 25,000 or more inhabitants) for prior Fiscal Year activity on selected HUD programs.

CSA produces a yearly publication for each State using data submitted by all Federal agencies. This system is authorized by OMB Circular A-84.

- a. Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.

Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 59a)

- b. Input documents. Consist of forms, reports and other documents intended solely to serve as inputs to the system.

Destroy after data has been entered into the system and verified and cannot be reused. (NARA Job NC1-207-80-5, item 59b)

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ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

- c. Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which

Scratch after third update cycle. (NARA Job NC1-207-80-5, item 59c)

are used to create and use a master file.

d. FIX data files. Consist of summary tapes.

(1) Tape submitted to CSA. This tape is eventually returned to HUD.

Scratch when tape is returned to HUD. (NARA Job NC1-207-80-5, item 59d(1))

(2) Duplicate tape kept by HUD.

Scratch when 1 year old. (NARA Job NC1-207-80-5, item 59d(2))

e. Printouts, output reports.

(1) Copies kept by system sponsor.

Destroy when 5 years old. (NARA Job NC1-207-80-5, item 59e(1))

(2) All other copies.

Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 59e(2))

Paperwork Management

60. Paperwork management program files. Consist of records on the development and improvement of the Department's paperwork management program, which involves management

Destroy when 6 years old. (NARA Job NC1-207-80-5, item 60)

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

of records, forms, correspondence, mail, reports, microfilm, word processing and vital records. Files include reports, correspondence authorizations, and related records not covered elsewhere in this Schedule.

61. Paperwork management liaison officer designations. Consist of

Destroy when superseded by a new designation or

documents reflecting the names of and information about individuals designated to perform paperwork management duties in specific HUD organizations. Include designations for Records Management Liaison Officers, Issuances Management Officers, Forms Management Liaison Officers, and similar representatives.

when obsolete. (NARA Job NC1-207-80-5, item 61)

62. Issuances and other directives. Directive or guidance material issued by the Department, including the Field, to Departmental employees and program participants. Include Handbooks, Notices, and Special Issuances such as Staff Bulletins, Title I Letters, Mortgagee Letters, Structural Engineering Bulletins, Materials Releases, Use of Materials Bulletins, and Land Planning Bulletins. Also include directives and guidance material issued by HUD's predecessor agencies. Do not include regulations and notices published in the Federal Register (see HUD Records Disposition Schedule 2) or general publications (see item 39 of this Schedule).

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

- | | |
|--|---|
| a. Issuance case history files. Case files on issuances prescribing administrative or programmatic policies, procedures, instructions or guidelines and issuances of an informational nature for special audiences. Include drafts showing the development of the material, clearance response records, notes on the development of the issuance, approval records, and the final printed version of the issuance. | Cut off when issuance is rescinded, superseded, or obsolete and place in inactive file. Retire inactive file to Federal Records Center three years after cutoff or when volume warrants. Destroy 15 years after cutoff. (NARA Job NC1-207-80-5, item 62a) |
|--|---|

These case files are kept by the Departmental Issuances Management Officer or, as he/she authorizes, at designated substations in the Headquarters and Field.

- | | |
|---|--|
| <p>b. Working papers and background material on the development of an issuance which are not significant enough to be a part of the issuance case history files.</p> | <p>Destroy 6 months after date the final printed version of the issuance is received by Issuances Management Officer for the originating office as entered on the Clearance Log. (NARA Job NC1-207-80-5, item 62b)</p> |
| <p>c. Master reference files. Consist of a complete file of all current issuances designated as a "master" set. Serves as a central reference set for all personnel at that geographical location. Usually kept in loose-leaf binders. The Departmental Issuances Management Officer keeps the HUD master reference file of all issuances issued within the</p> | <p>Destroy issuances when rescinded, superseded, or obsolete. (NARA Job NC1-207-80-5, item 62c)</p> |

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	Department. Primary organizations and their components may maintain comprehensive or partial master reference files as needed.	
d.	Extra copies of the clearance package for each issuance which are distributed to each clearance point for concurrent clearances and the comments given to clearance point for preparation of a consolidated response. Do not include those parts of the package and responses which become part of	Destroy when 3 years old or when no longer needed for reference purposes, whichever is earlier. (NARA Job NC1-207-80-5, item 62d)

the issuance case history file.

- | | |
|---|---|
| e. Printed copies of the final printed version of the issuance distributed to HUD employees for use as reference. | Destroy when rescinded, superseded, obsolete, or no longer needed for reference purposes. (NARA Job NC1-207-80-5, item 62e) |
|---|---|

63. Forms Files.

- a. Forms history files. Consist of documentation of the complete history of each form from its development to its current status.

- (1) Numerical forms history files kept by Departmental Forms Management Officer and Regional Forms Management Liaison Officers. Include camera copy, rough drafts showing development of the form, printing requisition, processing forms and Plain English clearance approvals.

Place in inactive file when form is discontinued, superseded, or cancelled. Retire to Federal Records Center two years after form is discontinued, superseded, or cancelled, or when volume warrants. Destroy 5 years after form is discontinued or cancelled. (NARA Job NC1-207-82-3, item 63a(1))

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

Arranged sequentially by form number.

- (2) Files kept by the originating offices on the reasons for revising the form. Include correspondence on suggested changes.

Destroy 1 year after form is discontinued or cancelled or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 63a(2))

- | | | |
|----|---|--|
| b. | Working papers and background material on the development or revision of a form which are not significant enough to be a part of the forms history files in item 63a. | Destroy when related form is discontinued, superseded, or cancelled. (NARA Job NC1-207-80-5, item 63b) |
| c. | Forms reference files. Consist of files kept by Headquarters Forms Management Liaison Officers on all forms originated by their organization. | Destroy when no longer needed for reference. (NARA Job NC1-207-80-5, item 63c) |
| d. | Forms register. Card files showing pertinent information about the form such as dates initiated, approved, and discontinued; office of primary interest; and the preparing office. Kept by Departmental Forms Management Officer. | Destroy one year after form is discontinued. (NARA Job NC1-207-80-5, item 63d) |
64. Reports files.
- a. Reports control files. Consist of case files maintained for each Department public use, internal, or interagency report created, cancelled, or superseded. Include requests for clearance and approval of reports; copies

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	of pertinent forms; copies of the issuance requiring the report; preparation instructions; documents relating to the continuance of or changes to the report; and correspondence, evaluations, and other documents relating to the reports.	
(1)	Master file of case folders kept by the Reports Management Officer in Headquarters for the Department.	Destroy two years after the report is discontinued. (NARA Job NC1-207-80-5, item

	64a(1))
(2) Case files of cleared reports kept by the Reports Liaison Officers in Headquarters and the Field.	Destroy 6 months after the report is discontinued. (NARA Job NC1-207-80-5, item 64a(2))
b. Log of report clearance symbols assigned for each major HUD component. Kept by Reports Management Officer in Headquarters.	Destroy when no longer needed for controlling the assignment of new report clearance symbols. (NARA Job NC1-207-80-5, item 64b)
65. Reporting and Data Inventory Control System (RADICS). This ADP system provides information on reports, forms and issuances which aid in the management of these functions within HUD. The inclusion of data elements for reports and issuances aids substantially in the tracking of data to avoid duplication of collection activities and to provide a basis for standardization	

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	activities. This system provides direct access to stored data via terminals. The system is maintained and operated at HUD. However, all data are stored on equipment owned by the contractor. This system replaced the Reports Management System (RMS).	
a.	Documentation files. Consist of those records produced in the initiation, analysis, design and development of the system from the user request through the project documentation.	Destroy one year after system is cancelled. (NARA Job NC1-207-80-5, item 65a)
b.	Master files. Constitute the definitive state of a data file	Destroy one year after system is cancelled.

in a system at a given time.

(NARA Job
NC1-207-80-5, item 65b)

c. Printouts, output reports.

- (1) Reports inventories.
Consist of listings of HUD
reporting requirements by
type. Contain skeletal
management data.

- (a) Copies kept by
Departmental Reports
Management Officer in
Headquarters.

Keep two latest copies
and destroy all previous
copies. (NARA Job
NC1-207-80-5, item 65c
(1)(a))

- (b) Copies kept by Reports
Liaison Officers
(RLO's) in Headquarters
and Field.

Destroy after next
updated inventory is
received. (NARA Job
NC1-207-80-5, item
65c(1)(b))

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ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

- (2) Complex prints which list
management data and data
elements for each report for
internal file maintenance
use only.

Destroy when obsolete,
superseded or no longer
needed for reference.
(NARA Job NC1-207-80-5,
item 65c(2))

- (3) Key word listings which
show all data elements in
the system in alphabetical
order.

Destroy when obsolete,
superseded or no longer
needed for reference.
(NARA Job NC1-207-80-5,
item 65c(3))

- (4) Issuances inventory.
Consists of a listing of
current HUD issuances. A
HUD Handbook is printed
from this RADICS printout.

- (a) Printed issuances
inventory handbook.

Use item 62 of this
schedule.

- (b) Copy from which
handbook is printed.

Use item 35 of this
schedule.

- (5) Forms Catalog. Consists of a listing of current HUD forms, including Standard and Optional Forms used in HUD.

- (a) Master copy (actually part of the numerical forms history files in item 63a(1)). Kept by the Departmental Forms Management Officer in Headquarters.

Place in inactive file when Forms Catalog is discontinued, superseded or cancelled. Retire to Federal Records Center 2 years after Forms Catalog is discontinued, superseded or cancelled, or when volume warrants. Destroy 10 years after Forms Catalog is discontinued, superseded or cancelled. (NARA Job NC1-207-80-5, item 65c(5)(a))

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

- (b) Copy from which Catalog is printed.

Use item 35 of this schedule.

- (c) All other copies.

Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 65c(5)(c))

- (6) Codes listings. Consist of listings of organizational codes, program codes, Standard Metropolitan Statistical Areas (SMSA) and Standard Consolidated Statistical Areas (SCSA) codes, and geographic codes for the United States and U.S. territories. The listings are used as input to the HUD Handbook of Codes.

Destroy after HUD Handbook of Codes is printed. (NARA Job NC1-207-80-5, item 65c(6))

66. Records disposition files. These files relate to the retirement, transfer, or destruction of records.

- | | |
|---|---|
| <p>a. Descriptive inventories, disposal lists and shelf lists. Include Standard Form 115, Request for Records Disposition Authority, when used to prepare a one-time request for destruction (a disposal list). Also includes Standard Form 135, Records Transmittal and Receipt.</p> | <p>Destroy 1 year after all records covered by the disposal list or SF 135 are destroyed. (NARA Job NC1-207-80-5, Item 66a)</p> |
|---|---|

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ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
b.	HUD Records Disposition Schedules on Standard Form 115, supersession. (NARA Job Request for Records Disposition Authority. Does not include copies of the Schedules issued through the Unified Issuances System (see item 62).	Destroy 1 year after NC1-207-80-5, item 66b)
c.	Documentation of direct offer of unscheduled records or transfer of scheduled records to the National Archives. Normally prepared on Standard Form 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States.	
	(1) Approved.	Destroy 1 year after records are transferred to National Archives. (NARA Job NC1-207-80-5, item 66c(1))
	(2) Disapproved.	Destroy 1 year after disapproval. (NARA Job NC1-207-80-5, item 66c(2))
d.	Reports related to records disposition. Include the annual records holdings reports and records retention reports. The annual records holdings reports	Destroy when 3 years old. (NARA Job NC1-207-80-5, item 66d)

are statistical reports of the Department's records holdings required by the General Services Administration and include feeder reports from all HUD offices and data on the volume of records disposed of by destruction or transfer. The records retention

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ADMINISTRATIVE RECORDS

Item

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reports are reports on changes or additions to the recordkeeping requirements imposed on the public by the Department's regulations and include feeder reports from all HUD offices. The records retention reports are required by the Office of the Federal Register.

- | | | |
|----|--|---|
| e. | Extra copies and routine correspondence and memoranda. | Destroy when no longer needed for reference. (NARA Job NC1-207-80-5, item 66e) |
| f. | Working papers and background material relating to records disposition but which are not significant enough to be a part of items 66a through d. | Destroy when no longer needed for reference. (NARA Job NC1-207-80- 5, item 66f) |
| g. | Records disposition control cards. Card files which show the disposition of records. Used to insure that records are disposed of promptly in accordance with approved records schedules. | Destroy when superseded or obsolete. (NARA Job NC1-207-80-5, item 66g) |

Security and Protective Services

- | | | |
|-----|--|---|
| 67. | Security and protective services records. Include files created to control and protect classified information; to protect Government facilities from unauthorized entry, | Use General Records Schedule (GRS)
18 except:
a. Use item 68 of this schedule in place of |
|-----|--|---|

sabotage or loss; to determine loyalty and fitness of current or prospective Government employees; and to develop and implement plans to protect life and property under emergency conditions.	b. GRS 18, item 28. Use item 69 of this schedule in place of GRS 18, item 30.
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ADMINISTRATIVE RECORDS

Item

No.

Description of Records

Disposition

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|---|--|
| 68. Emergency planning case files.
Consist of record copies of plans
or directives issued, with related
background papers. Kept by offices
responsible for preparing and issuing
emergency plans and directives. | Destroy when super-
seded or obsolete.
NARA Job NC1-207-
80-5, item 68) |
| 69. Emergency planning reports. HUD
reports of operations tests.
Consist of consolidated or compre-
hensive reports reflecting HUD-wide
results of tests conducted under
emergency plans. | Destroy when 3 years
old. NARA Job NC1-
207-80-5, item 69) |

Audiovisual

70. Audio Visual Records. Created specifically by or for the Department of Housing and Urban Development (HUD) or acquired by HUD from outside sources in the course of business. They range from still photographs in various forms such as prints, negatives, slides, transparencies, and contact sheets; to graphic materials such as posters, to motion picture films, videos and sound recordings. Related reference aids include logs, indexes, and electronic data bases, as well as images (still or motion) reproduced in analog form on video disks or in digital form on CD-ROMs, diskettes or hard drives. NOTE: Posters are distributed by the HUD Printing Branch directly to the National Archives Still Pictures Branch using HUD Records Disposition Schedule 3, item number 36.

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
(1)	The Headquarters Visual Arts Branch Photograph Library. The Library creates, acquires and maintains still photographic records such as prints, negatives, slides, contact sheets, and related reference aids.	
(a)	Central Assignment File. PERMANENT. Cut off Contains color (majority) at the end of the and black and white Presidential Adminis- photographic negatives, tration and immediately with many corresponding transfer to the National prints and contact sheets, Archives with all related along with color slides, reference aids. (NARA Job mostly gathered on official N1-207-97-6, item HUD photographic coverages. 70(1)(a)) Permanently valuable coverages document swearing- in ceremonies, press conferences, speeches, Congressional testimony, and historic commemorations featuring senior HUD officials; coverages of visits of political and cultural dignitaries and celebrities to HUD facilities; coverages of the announcement, promo- tion and implementation of HUD programs, and other mission-related matters; coverages of housing problems, issues and trends, and of neighborhood life in communities, and coverages of other subjects bearing on unique agency responsi- bilities. Arranged by HUD assignment number, reflecting coverage chronology.	

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(b) Assignment Logbooks and Other Reference Aids. Contains caption entries for official HUD photographic coverages, entered in written electronic form with a printed backup. Arranged by HUD assignment number,	PERMANENT. Cut off at end of the Presidential Administration; highlight assignment log entries corresponding to permanent coverages;
immediately	reflecting coverage transfer with related chronology. Other reference	prints and negatives
to	aids reproduce selected the National Archives images in electronic form in hard copy and, if with accompanying available and feasible,	
cataloging.	in an electronic form compatible with National Archives systems. (NARA Job No. N1-207-97-6, item 70 (1)(b))	
	(c) Portrait File. Contains color (majority) and black and white negatives, some	PERMANENT. Cut off at end of the
Presi-		dential
Administra-	with corresponding prints,	tion and
immediately	of high-level HUD officials and other dignitaries. Arranged alphabetically by	transfer to the National Archives with related
reference	surname.	aids. NARA Job
No. N1-207-97-6, item 70 (1) (c))		
	(d) Routine Still Photographs of the Visual Arts Branch Photograph Library. Contains still photographs from the Central Assignment File, the Portrait File and other	Temporary. Use General Records Schedule 21, items 1,2,3, and 4.
	coverages relating to routine subjects, such as employee awards; retirement or promotion	

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RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
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ceremonies; holiday gatherings;
workshops; campaigns and pro-
motions common to most Federal
agencies; portraits of low-level
HUD personnel or other low-level
government personnel.

- (2) Still Photographs Not Maintained
by the Visual Arts Branch
Photograph Library. Still photo-
graphs created or received and
maintained by program office
personnel at Headquarters or by
personnel at the State/Field
Offices, and not created or
maintained in the Visual Arts
Branch Photograph Library.
NOTE: Program Office Personnel
must provide proper captioning
and numbering.

	(a) Historically Significant PERMANENT. Break	
	Still Photographs. Encom-	file every 4
years.		
immediately	passes color and black and	Transfer
	white still photographic	to National
	prints, negatives, contact	Archives after
	sheets, slides, transparen-	consultation
with		
	cies, and filmstrips	the National
	relating to official	Archives' Still
	program functions; unique	Pictures Branch
and		
	regional HUD activities;	with the NARA
	housing problems, issues,	Regional
Records		
	trends and neighborhood	Services facility
	life in communities, and/or	for photographs
in		
	the Secretary's or	the field. (NARA
	Secretary's Representatives'	Job No. N1-207-97-6,
	mission-related activities	item 70 (2)(a))
	along with associated logs,	
	indexes or other reference	
	aids, including analog	
	or digital reproductions.	

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item		
No.	Description of Records	Disposition

- (b) Routine Still Photographs. Temporary. Use
Includes still photographic General Records
prints, negatives, contact Schedule 21, items
sheet, slides, transparencies, 1,2,3, and 4.
and filmstrips (or copies of
these images in analog or
digital form) of routine award
ceremonies, social events, and
activities not related to HUD's
mission; official portraits of
non-senior level HUD officials;
personnel identification;
internal personnel and
administrative training film-
strips and slide programs
that do not reflect HUD's
mission; and duplicates
exceeding preservation needs.
Apply to Headquarters, State
and Field Offices.

Library Services

71. Library Periodicals Control System.
This ADP system provides a control
of periodicals received by the HUD
Library and produces a published list
of such periodicals including the names
and addresses of publishers and vendors.
Another product of the system is a listing
reflecting the disposition or filing
location of the periodical within the
Library, which is used as a directory
for both filing and retrieving the
materials.

- a. Documentation files. Cover Destroy 1 year after
those records required for system is placed on
servicing machine-readable inactive list. (NARA
records--for converting them Job No. NC1-207-80-5,

item 71a.)

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Item

No. Description of Records

Disposition

from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems.

b. Input documents.

- | | |
|---|--|
| (1) Forms, reports, and other documents intended solely to serve as inputs to the system. | Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 71b(1)) |
| (2) Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system. | Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 71b(2)) |

c. Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.

Scratch after third update cycle. (NARA Job NC1-207-80-5, item 71c)

d. Master files. Constitute the definitive state of a data file in a system at a given time.

- | | |
|--------------------------------------|--|
| (1) While the system is operational. | Scratch after third update cycle. (NARA Job NC1-207-80-5, item 71d(1)) |
|--------------------------------------|--|

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item No.	Description of Records	Disposition
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 71d(2))

e.	Printouts, output reports.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 71e)
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72. Library 701 Reports Control System. This ADP system supports the HUD Library in cataloging HUD sponsored planning reports. It disseminates the technical planning and research information contained in the HUD sponsored 701 Planning Reports to HUD users and outside client groups.

a.	Documentation files. Cover those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate , develop, operate and maintain specific applications of ADP systems.	Destroy 1 year after system is placed on inactive list. (NARA Job NC1-207-80-5, item 72a)
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b. Input documents.

(1) Forms, reports and other documents intended solely to serve as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-80-5, item 72b(1))
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Item

No. Description of Records

Disposition

(2) Forms, reports and other documents which serve other program uses in addition to serving as inputs to the system.	Use the appropriate item elsewhere in this schedule. (NARA Job NC1-207-80-5, item 72b(2))
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c.	Processing files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which	Scratch after third update cycle. (NARA Job NC1-207-80-5, item 72c)
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- are used to create and use a master file.
- d. Master files. Constitute the definitive state of a data file in a system at a given time.
- (1) While the system is operational. Scratch after third update cycle. (NARA Job NCl-207-80-5, item 72d(1))
- (2) When the system is deleted from the inventory of active systems. Destroy 1 year after system is placed on inactive list. (NARA Job NCl-207-80-5, item 72d(2))
- e. Printouts, output reports. Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NCl-207-805, item 72e)

Automatic Data Processing

73. Automatic data processing (ADP) records. Also called machine-readable records. Includes the related documentation required to service them.

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Item No.	Description of Records	Disposition
a.	Records relating to management of the automatic data processing function itself.	Use items 74 through 76 of this schedule in place of General Records Schedule 20.
b.	Records relating to a specific ADP system.	Use the functional HUD Records Disposition Schedule to which the ADP system relates and the appropriate item covering that system. (NARA Job Ncl-207-80-5, item 73b)

74. HUD Inventory of Automated Systems files. The HUD Inventory of Automated Systems is a publication which lists HUD automated systems which are operational, under development or planned. It is produced annually and reflects system status as of the last day of the Fiscal Year. Files include interim updates.
- a. Working files kept by the office which prepares the Inventory. Destroy when 1 year old. (NARA Job NC1-207-80-5, item 74a)
- b. Copies of printed Inventory. Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 74b)
75. Master set of documents used in requesting new ADP systems or new reports from existing systems. Consists of Advanced Requirements Notice (ARN), Evaluation of Proposal (EOP) and System Requirement Specification (SRS). The ARN and SRS are prepared by the user. Destroy when 10 years old. (NARA Job NC1-207-80-5, item 75)

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Item

No. Description of Records

Disposition

The EOP is prepared by the Office of Information Policies and Systems. Copies of the ARN, EOP and SRS are also part of the documentation files for each operational system. However, this master set also contains documents on disapproved user requests.

76. Computer usage accounting records. Consist of records on how much computer time was used for each program and administrative area user. Destroy when 5 years old. (NARA Job NC1-207-80-5, item 76)

Claims Collection

- | | |
|--|--|
| <p>77. Claims collection case files. consist of records relating to the collection of claims of the United States for money or property arising from Departmental activities. Kept by claims collection officers or the Departmental Claims officer.</p> | <p>Place in inactive file when administrative collection action on claim is completed. Retire to Federal Records Center 2 years after administrative collection action on claim is completed or when volume warrants. Destroy 7 years after administrative</p> |
| <p>collection action on</p> | <p>claim is completed. (NARA Job N1-207-80-5, item 77)</p> |
| <p>78. Claims collection reports files. Consist of reports on claims collection activities in HUD. Consist of monthly reports prepared by Field and Headquarters claims collection officers and quarterly cumulative reports prepared by the Regional Office Claims Report Coordinators.</p> | <p>Destroy when 2 years old. (NARA Job NC1-207-80-5, item 78)</p> |

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ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

Inspector General Records

- | | |
|--|---|
| <p>*79-1. Investigative, audit and related records created or kept by an OIG in performing its duties and responsibilities.</p> | <p>Use items 79 through 86 in place of General Records Schedule (GRS) 22.</p> |
| <p>*</p> | |
| <p>79. Audit Case Files - Headquarters copies of the audit report issued in the Field and all related correspondence received in or generated by Headquarters.</p> | |
| <p>a. Cycle Audits (External).</p> | <p>Destroy upon receipt</p> |

		of new audit case file. (NARA Job NC1-207-85-1, item 79a)
b.	Final and Request Audits (External).	Destroy 1 year after date of report. (NARA Job NC1-207-85-1, item 79b)
c.	Recurring Audits and all other audits (Internal).	Retain for 5 years after date of audit report. Retire to the Federal Records Center and destroy 8 years after date of audit. (NARA Job NC1-207-85-1, item 79c)
*80.	GAO Audit Report Files. Audits of specific activities impacting upon HUD and its mission. Reports are arranged by Region and thereunder chronologically.	

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Item No.	Description of Records	Disposition
* a.	Official Copy.	PERMANENT. Cut off annually. Retire to the Federal Records Center when 3 years old. Transfer to NARA when 10 years old. (NARA Job N1-207-91-2, item 2a)
b.	Background File. This file contains a copy of the draft, letter and published GAO reports and all inquiries and all material and correspondence relating to HUD's review, replies to the actions on GAO findings, and statements required by OMB Circular A-50. actions have been	Retire to Federal Records 3 years after all required actions have been taken, or when volume warrants. Destroy 6 years after all required actions have been taken. (NARA Job

NC1-207-85-1, Item
80)

c. Agency Reference Copies.

Destroy when no
longer needed for
agency use. (NARA
Job N1- 207-91-2,
item 2b) *

81. Investigation Case Files.

a. Files are set up by consti-
tuent organization within
the Department of HUD,
type of violation, and by
number in consecutive
order of receipt.

* (1) Headquarters.

(a)Record copy of case
files of historic
value.

PERMANENT. Retire
to Federal
Records Center 2 years after
case is closed.
Transfer to
National Archives in
five-year blocks
when 20-25 years old
or sooner if
negotiated between
the National.
Archives and HUD.

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ADMINISTRATIVE RECORDS

Item
No.

Description of Records

Disposition

*

NOTE: Files of
historic value
will normally be
selected by the
HUD Office of
Inspector General
and will normally
include files
on all cases that:
(I) attract
national news media
attention;
(ii) result in
Congressional
investigation; or

(iii) result in substantive changes to agency policies and procedures. (NARA Job N1-207-90-2, item a(1)a)

(b) All other case files.

Retire to Federal Records Center 2 years after case is closed. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1, published in the June 12, 1992, Federal Register (57 FR 25069). (NARA Job N1-207-90-2, item a(1)b)

(c) Disposition report.

Microfilm Synopsis or brief Disposition Report report. or brief of report 2 years after case file is closed. Refile hard copy in case file after film is verified. Retain microfilm onsite. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NC1-207-85-1, item 81a(1)(b))

(2) Field Offices.

Destroy 1 year after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NC1-207-85-1, item 81a(2)) *

RECORDS DISPOSITION SCHEDULE 3
ADMINISTRATIVE RECORDS

Item

No.	Description of Records Disposition
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- b. Bulky exhibits, consisting of originals or signed statements, documents, accounting work papers, and other evidence accumulated during an investigation.
- When case is closed, review the bulky exhibits to determine which should be retained. Forward this to Headquarters for inclusion in main file. Return others to those who furnished the material to OIG. Destroy balance of files. Privacy Act System of Record HUD/OIG-1. (NARA Job NC-1- 207-85-1, item 81b)
- *

82. General Subject Files. Program Records.

- a. Headquarters. Cut off files annually. Retire to Federal Records Center when 4 years old. Destroy when 10 years old. (NARA Job NCl-207-85- 1, item 82a)
- b. Field Offices. Review annually and destroy any material over 4 years old which has no more value. (NARA Job NCl-207-85-1, item 82b)

83. Previous participation experience Destroy when 1 year
check. This is a request for old. (NARA Job
information on individuals or NC1-207-85-1, item
firms who are making application 83)
to participate in programs of the
Department.

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

Item

No. Description of Records

Disposition

*84. Monthly Reports of Investigations and Audits to the Secretary. Reports from the IG to the Secretary highlighting topics of current interest. Reports are arranged chronologically.

a. Official Copy.

PERMANENT. Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job N1-207-91-2, item 3a)

b. All other copies.

Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Destroy when 8 years old. (NARA Job N1-207-91-2, item 3b)

85. Semi-Annual Reports to Congress. Contains IG messages to Congress, overview of HUD actions, audits and investigations, and specific problem areas. Arranged chronologically.

a. Official Copy.

PERMANENT. Cut off annually. Retire to Federal Records Center when 3 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job N1-207-91-2, item 1a)

b. Agency Reference copies.

Destroy when no longer needed for agency use. (NARA Job N1-207-912, item 1b)

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Item No.	Description of Records	Disposition
86.	OIG Automated system. These include: OIG Audits and Management System (G04); OIG Audit and Investigative Support System (G01); OIG Planning and Operations System (G03); OIG Investigative Case Management System (G02); OIG Hotline Management System (G05), OIG Name Indices System (G07); and OIG Complaint Management System (G08). Seven files are kept for each system. The retention period for each kind of file is the same in each system.	(ADP systems G01 through G04 are covered by NARA Job NC1-207-84-1, items 18(1) through (7). ADP systems G05, G07, and G08 are covered by NARA Job NC1-207-85-1, items 84a through g.)
a.	Documentation Files.	Destroy 1 year after system is placed on inactive list.
b.	Input Documents and Monthly Reports, maintained in Management Information Division Files.	Maintain for 1 year; then destroy if no longer needed for reference.
c.	Quarter Ended and Fiscal Year Ended Reports, maintained in Management Information Division Files.	Maintain for 3 years; then destroy if no longer needed for reference.
d.	Processing Files.	Scratch after third update cycle.
e.	Processing Files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after third update cycle.

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Item No. Records	Description of Disposition
f.	Master Files. Constitute the

definitive state of a data file
in a system at a given time.

- | | |
|--|---|
| (1) When the system is operational. | Scratch after third update cycle. |
| (2) When the system is deleted from the inventory of active systems. | Destroy 1 year after system is placed on inactive list. |
| g. All other printings and output reports. | Destroy when superseded, obsolete, or no longer needed for reference. |

NOTE: Use the appropriate functional HUD Records Disposition Schedule in place of General Records Schedules 15, 17, 19, and 22.